

osenblatt work product: extracts of shadow data

Firm	DateBasis	Sequence	ExtRefID	TradeDate	EntryDate	SettlementDate	TradeAccount	Product	AssetAlias1	Currency	Ticket	Transaction	Quantity	Proceeds	FinalPrice	Asset	MasterAccount
E1	TRD	422752	EQ52023-187003	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020035IDBSEBIDBE1	EQUITY	DK0060534915	DKK	ORG	BUY	1,000,000	3291041110.00	329.1041100000	NOVOB DC	1020035IDBSEBIDBE1
E1	TRD	422753	EQ52023-187004	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020035IDBSEBIDBE1	EQUITY	DK0060534915	DKK	ORG	BUY	1,000,000	3291041110.00	329.1041100000	NOVOB DC	1020035IDBSEBIDBE1
E1	TRD	422754	EQ52023-187005	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020035IDBSEBIDBE1	EQUITY	DK0060534915	DKK	ORG	BUY	1,000,000	3291041110.00	329.1041100000	NOVOB DC	1020035IDBSEBIDBE1
E1	TRD	422755	EQ52023-187006	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020035IDBSEBIDBE1	EQUITY	DK0060534915	DKK	ORG	BUY	1,000,000	3291041110.00	329.1041100000	NOVOB DC	1020035IDBSEBIDBE1
E1	TRD	422837	EQ52023-187009	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020010LINDENADBP1	EQUITY	DK0060534915	DKK	NEW	SEL	1,400,000	460745754.00	329.1041100000	NOVOB DC	1020010LINDENADBP1
E1	TRD	422838	EQ52023-187008	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020010RIVERSASSOC	EQUITY	DK0060534915	DKK	NEW	SEL	1,400,000	460745754.00	329.1041100000	NOVOB DC	1020010RIVERSASSOC
E1	TRD	422839	EQ52023-187007	13/03/2015	2015-03-13 00:00:00.000	17/03/2015	1020010GOLDSTLAWGP	EQUITY	DK0060534915	DKK	NEW	SEL	1,200,000	394924932.00	329.1041100000	NOVOB DC	1020010GOLDSTLAWGP

Retrieval

## Details (32)

Direction

From Swift

Loc ID

1000

Loc SWIFT ID

NA

## Prose

2002

Curr Series

453 222

External ID

NCS

User Addr

1108-03189039085280

Agas Hür

05400051503:8ESSEDKOK(DDGGCZ706115631503180505N

Load Date

1843-2015 01-07 52

Proc User

146

Proc Port

N/A

Instruction Date

N/A

OATS I

[illegible]

CONFIDENTIAL

Show Groups

Show Groups

System Default

Index	Tag	Value
1	1 16R	GENL
2	2 20C	SENSE/CS383710
3	3 29G	NEWMI
4	4 16R	LINK
5	5 20C	RELATE/000045/5530/
6	6 16S	LINK
7	7 16S	GENL
8	8 16R	TRADEET
9	9 96A	ESSET/20/50318
10	10 96A	TRAD/20/50312
11	11 35B	SN OV00083AP/5
12	12 000	NORD NORDSGOREG SM DINGL2
13	13 16S	TRADEET
14	14 16R	FIAC
15	15 38B	ESYTT/UNIT/1000000
16	16 97A	SAFE/0229/142306
17	17 16S	FIAC
18	18 16R	SETDET
19	19 22F	SETRU/TRAD
20	20 16R	SETPRTY
21	21 96P	DEAG/ESSED/000000
22	22 16S	SETPRTY
23	23 16R	SETPRTY
24	24 96P	SELL/MACVGR2
25	25 16S	SETPRTY
26	26 16R	SETPRTY
27	27 96P	PSET/NPOK/000000
28	28 16S	SETPRTY
29	29 16R	AMT
30	30 15A	ESYTT/00002R/01110
31	31 16S	AMT
32	32 16S	SETDET

ED2F-00049930

 Retrieve

## Details (32)

Direction

From Swift

Loc ID

N/A

Loc SWIFT ID

N/A

### Purpose

N/A

Curr Series

451594

External ID

NA

User Idr

(108 0317960404768520)

Add It!

Q5450602150317ESSEDKKX006830061541503170509N

Load Date

17-03-2015 01:11:13

Proc User

NA

Proc Port

NA

Instruction Date

NA

OATS 7

OATS Sent ☒

System Default  

Index	Tag	Value
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Index	Tag	Value
1	1 16R	GENL
2	2 20C	:SEME/05383712
3	3 23G	NEWM
4	4 16R	LINK
5	5 20C	:ELA/E1000046159001
6	6 16S	LINK
7	7 16S	GENL
8	8 16R	TRADDET
9	9 98A	:ESET/20150317
10	10 98A	:TRAD/20150313
11	11 36B	:SIN DNE000004315
12	12 000	:NOVO NORDISK/REG SH DN 0.2
13	13 16S	TRADDET
14	14 16P	PAC
15	15 36B	:ESTY/UNIT/ID00000
16	16 97A	:SAFE/00006142006
17	17 16S	PAC
18	18 16R	SETDET
19	19 26F	:SETR/TRAD
20	20 16P	SETPRTY
21	21 96P	:DEAG/ESSED000000
22	22 16S	SETPRTY
23	23 16R	SETPRTY
24	24 96P	:SEL/14ACVGB22
25	25 16S	SETPRTY
26	26 16R	SETPRTY
27	27 96P	:PSET/YPOKDK000000
28	28 16S	SETPRTY
29	29 16P	AMT
30	30 18A	:ESTY/ID/58000010110
31	31 16S	AMT
32	32 16S	SETDET



Retri

## Details (32)

**Direction**

### From Swift

Loc ID

N/A

Loc SWIFT ID

N/A

### Purpose

NA

Curr Series

451336

External ID

N/A

User Hdr

(1080317060404825824)

App Hdr

05450808150317ESSEDKKKX00830061571503170509N

Load Date

17-03-2015 01:11:13

Proc User

N/A

Proc Port

NA

Instruction Date

N/A

OATS 177

0450-15

CONFIDENTIAL

System Default

### Shiny Groups

Index	Tag	Value
1	1 16R	GENL
2	2 20C	:SEME/C0003714
3	3 23G	NEWM
4	4 16R	LINK
5	5 20C	:RELA/E1000045100701
6	6 16S	LINK
7	7 16S	GENL
8	8 16R	TRADDET
9	9 96A	:ESET/20150317
10	10 96A	:TRAD/20150312
11	11 26B	:SEN 0X0000000000000000
12	12 000	:NOV0 N0R0K5K/REG SH 0X00000000
13	13 16S	TRADDET
14	14 16R	FIAC
15	15 26B	:ESTT/UNIT/10000000
16	16 97A	:SAFE/0000000000000000
17	17 16S	FIAC
18	18 16R	SETDET
19	19 22F	:SETP/TRA0
20	20 16R	SETPRTY
21	21 95P	:DEAG/ESSED00000000
22	22 16S	SETPRTY
23	23 16R	SETPRTY
24	24 95P	:SEIU/MACV0822
25	25 16S	SETPRTY
26	26 16R	SETPRTY
27	27 95P	:PSET/VP0K00000000
28	28 16S	SETPRTY
29	29 16R	AMT
30	30 19A	:ESTT/0X0000000000000000
31	31 16S	AMT
32	32 16S	SETDET

ED&F-00049932

## SWIFT Message Detail

Message ID 7404606

Retr

## SWIFT Information

## Msg Type

54S

## Status

Closed

## Related Ref

N/A

## Transaction Ref

06383716

## Asset Series

451599

## Reason Code

N/A

## Trailer Hdr

{MAC:00000000}{CHK:098E705808}

## Basic Hdr

FD1MACVGRZ2A0000990280467

## Load User

SHSYSTEM

## Load Port

S608207NJ3VW07

## Proc Date

[NULL]

## Duration

N/A

## ACK Date

[NULL]

## File Name

06845617.TXT

## Memo

CONFIDENTIAL

## Direction

From Swift

## Loc ID

N/A

## Loc SWIFT ID

N/A

## Purpose

N/A

## Curr Series

451599

## External ID

N/A

## User Hdr

{108:0317060404960376}

## App Hdr

Q5450608150317ESSEDKXNDXX28208062521503170509N

## Load Date

17-03-2015 01:11:14

## Proc User

N/A

## Proc Port

N/A

## Instruction Date

N/A

OATS ☐OATS Sent ☐

## Details (32)

## Show Groups

System Default

Index	Tag	Value
1	1 16R	GENL
2	2 20C	SEXE/C5383716
3	3 20C	NEWN
4	4 16R	LINK
5	5 20C	RELAX/E100004515999
6	6 16S	LINK
7	7 16S	GENL
8	8 16R	TRADDET
9	9 96A	ESSET/20150317
10	10 96A	TRAD/20150313
11	11 35B	ISN OKD0805M415
12	12 000	MOVO MORASW/R53 SM OKD0.2
13	13 16S	TRADDET
14	14 16R	PLAC
15	15 36B	ESTT/UNIT/1000000
16	16 37A	SAFE/06298142808
17	17 16S	PLAC
18	18 16R	SETDET
19	19 22F	SETR/TRAD
20	20 16R	SETPRTY
21	21 96P	DEAG/ESSED00000X
22	22 16S	SETPRTY
23	23 16R	SETPRTY
24	24 96P	SELL/MACVGRZ2
25	25 16S	SETPRTY
26	26 16R	SETPRTY
27	27 96P	PSET/VPOKD00000X
28	28 16S	SETPRTY
29	29 16R	AMT
30	30 19A	ESTY/DXK328104110
31	31 16S	AMT
32	32 16S	SETDET

ED&amp;F-00049933



## Account Equity

ED&F Man Capital Markets Ltd  
3 London Bridge Street  
London SE1 9SG  
United Kingdom

Account Number: CC:RIVERS-ASSOC  
Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
Date : 20-03-2015  
Currency : USD

## Cash Summary

Cur Layer	Trade Date Amount	Conv Rate	TD Reporting Amt (USD)	Settle Date Amount	Conv Rate	SD Reporting Amt (USD)
DKK Cash	203,193,120.16 Dr	0.14520000	29,503,655.57 Dr	889,473,220.16 Dr	0.14520000	129,151,511.57 Dr
DKK Var Margin	4,528,860.00 Cr	0.14520000	657,590.47 Cr	4,528,860.00 Cr	0.14520000	657,590.47 Cr
EUR Cash	51,493.53 Cr	1.08210000	55,721.15 Cr	51,493.53 Cr	1.08210000	55,721.15 Cr
GBP Cash	100.63 Dr	1.49490000	150.43 Dr	100.63 Dr	1.49490000	150.43 Dr
USD Cash	61,816,836.65 Dr	1.00000000	61,816,836.65 Dr	61,816,836.65 Dr	1.00000000	61,816,836.65 Dr
USD SEG CASH A	146,095.65 Cr	1.00000000	146,095.65 Cr	146,095.65 Cr	1.00000000	146,095.65 Cr
			90,461,235.38 Dr			190,109,091.38 Dr

## Trade Date Positions (Equity) (DKK)

Asset	Description	L	Position	Trd Price	Market Price	Original Value	Market Value	Unrealized G/L Cur
PNDORA DC	PANDORA A/S	C	300,000.00 Lg	635.0079	619.5000	190,502,382.00 Dr	185,850,000.00 Cr	4,652,382.00 Dr DKK
				Totals:		190,502,382.00 Dr	185,850,000.00 Cr	4,652,382.00 Dr

## Trade Date Positions (Equity) (USD)

Asset	Description	L	Position	Trd Price	Market Price	Original Value	Market Value	Unrealized G/L Cur
UN US	UNILEVER N V -NY SHARES	C	1,444,600.00 Lg	42.1105	43.0000	60,832,871.64 Dr	62,117,800.00 Cr	1,284,928.36 Cr USD
				Totals:		60,832,871.64 Dr	62,117,800.00 Cr	1,284,928.36 Cr

## Trade Date Futures Positions (DKK)

Asset	Description	Position	Trd Price	Market Price	Orig Notional	Market Value	Open Trd Equity Cur
PAD17APR2015	PAD17APR2015BCLEAR	3,000.00 Sh	626.8062	611.7100	188,041,860.00 Cr	183,513,000.00 Dr	4,528,860.00 Cr DKK
					188,041,860.00 Cr	183,513,000.00 Dr	4,528,860.00 Cr DKK

## Pending Trades (DKK)

Trade Dt	Settl Dt	Type	Trn	Quantity Asset	Trd Price	Proceeds Cur
20-03-15	24-03-15	Normal	SEL	1,200,000.00 DANSKE DC	173.6000	208,320,000.00 Cr DKK
20-03-15	24-03-15	Normal	SEL	1,400,000.00 NOVOB DC	341.4000	477,960,000.00 Cr DKK

## Account Equity

ED&F Man Capital Markets Ltd  
3 London Bridge Street  
London SE1 9SG  
United Kingdom

Account Number: CC:RIVERS-ASSOC  
Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
Date : 20-03-2015  
Currency : USD

## Equity Swaps

Tick Seq	Trade Dt	Term Dt	Asset Description	Quantity D	Open Price	Notional	Cur	Market Price	MTM Next Valuation	Rate Description	Rate	Accrued Financing
375276	27-01-15	30-04-15	UN US	1,444,600 S	42.8060	61,837,548	USD	43.0000	-280,252	Fixed	0.0000	0.00
	30-01-15		UNILEVER N V	-NY SHARES								

## Account Summary

Item	Amount (USD)
Value of opening currency balance	188,839,365.37 Dr
Value of trades settling today	0.00 Cr
Value of Rec/Del today	0.00 Cr
Value of Deposits/Withdrawals today	1,259,726.02 Dr
Value of closing currency balance(s)	190,109,091.38 Dr
Cash Collateral Pending Settlement	0.00 Cr
Financed Cash Pending Settlement	0.00 Cr
NonFX Proceeds Pending Settlement	99,647,856.00 Cr
Trade Date Cash Balance	90,461,235.38 Dr
Market Value of Positions	89,103,220.00 Cr
Mkt Val of Unsettled Fin Positions	0.00 Cr
Mkt Val of Settled Fin Positions	0.00 Cr
Mkt Val of Unsettled Fin Collateral	0.00 Cr
Mkt Val of Settled Fin Collateral	0.00 Cr
Net Value of Financing Interest	0.00 Cr
Open Trade Equity on FX Deals	0.00 Cr
Accrued Interest on Fixed Income	0.00 Cr
Value of Open Swap Positions	280,252.40 Dr
Preliminary Account Value	1,638,267.78 Dr

## Margin Summary

Margin Req (Reg-T: Initial)	0.00 Cr
Margin Req (Reg-T: Maintenance)	0.00 Cr
Margin Req (Future Initial)	912,246.59 Dr
Margin Req (FOREX)	0.00 Cr
Margin Req (Minimum Equity)	0.00 Cr
Margin Req (Total)	912,246.59 Dr

## Futures Initial Requirement

Cur Requirement	Requirement (USD)	Conv Rate
DKK 6,282,690.00 Dr	912,246.59 Dr	0.14520
	912,246.59 Dr	

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ED&amp;F-00049935

## Account Equity

ED&F Man Capital Markets Ltd  
 3 London Bridge Street  
 London SE1 9SG  
 United Kingdom

Account Number: CC:RIVERS-ASSOC  
 Account Name : RIVERSIDE ASSOCIATES DEFINED BE  
 Date : 20-03-2015  
 Currency : USD

## Outstanding Calls

Key	Type of Call	Status	Issue Date	Entry Date	Due Date	Amount (Original)	Amount (Open)	Cur
284037	Futures call	Issued	20-03-2015	20-03-2015	20-03-2015	2,927,852.44	2,927,852.44	USD
						2,927,852.44	2,927,852.44	

## Total Account Value

2,550,514.37 Dr

## Financing Summary

Unsettled Value of collateral at close	0.00 Cr
Unsettled Financing Valuation	0.00 Cr
Unsettled Financing Excess at close	0.00
Settled Value of collateral at close	0.00 Cr
Settled Financing Valuation	0.00 Cr
Settled Financing Excess at close	0.00
Total Financing Excess at close	0.00



Novo Nordisk A/S

NOVOB DC

ISIN: DK0060534915

SEDOL: BHC8X90

COUNTRY: DK

EX DATE: 20/03/2015

REC DATE: 23/03/2015

PAY DATE: 24/03/2015

CCY: DKK

GROSS RATE: 5.00

FEE: 0.00

## AGENT POSITIONS

BOD BREAKDOWN TO BE SENT TO AGENT FOR DATE: N/A  
CZ / FE / HQ / PL / SE


CLIENT ACCOUNT	CLIENT NAME	DIV %	LONG HLDNG	SHORT HLDNG	PAYABLE	RECEIVABLE	CLAIMED	NOTES
CC:AUTOPA-AUTOP	Autoparts Pensions Group Trust	73%	125,000		456,250.00			
CC:CASTPE-GRPTR	Casting Pensions Group Trust	73%	125,000		456,250.00			
CC:CTECHD-00000	Central Technologies Pensions Group Trust	73%	125,000		456,250.00			
CC:GOLDST-LAWGP	The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Shel	73%	1,200,000		4,380,000.00			
CC:INDUST-PENGP	Industrial Pension Group Trust	73%	125,000		456,250.00			
CC:KOUTRO-PENPL	Koutroulakis & Co Corporate Pension Plan	73%	1,100,000		4,015,000.00			
CC:LINDEN-ADBPL	Linden Associates Defined Benefit Plan	73%	1,400,000		5,110,000.00			
CC:RIVERS-ASSOC	RIVERSIDE ASSOCIATES DEFINED BENEFIT PLAN	73%	1,400,000		5,110,000.00			
LC:DENDKK-DIVDK	SEA Depot 05295142806	73%		-5,600,000		-20,440,000.00		
TOTALS			5,600,000	-5,600,000	20,440,000.00	-20,440,000.00		

## SECURITIES LENDING POSITIONS

CLIENT ACCOUNT	CLIENT NAME	DIV %	LONG HLDNG	SHORT HLDNG	PAYABLE	RECEIVABLE	CLAIMED	NET STR. LOAN AMT	PREST VTD	PREST BAL. USD
BR:MAPLE-UKLTD	Maple Securities UK Ltd	85%	1,100,000		4,675,000.00		YES		25/3	399988
CC:AUTOPA-AUTOP	Autoparts Pensions Group Trust	100%	2,426,750		12,133,750.00					
CC:CASTPE-GRPTR	Casting Pensions Group Trust	100%	2,438,500		12,192,500.00					
CC:CTECHD-00000	Central Technologies Pensions Group Trust	100%	1,274,500		6,372,500.00					
CC:INDUST-PENGP	Industrial Pension Group Trust	100%	2,424,500		12,122,500.00					
CC:GSA-DE-GMBHO	GSA Germany GmbH	85%		-1,100,000		-8,875,000.00				
CC:POLLEN-FUNDO	POLLEN FUND LIMITED	100%		-9,664,250		-42,821,250.00				
SL TOTALS			9,664,250	-9,664,250	47,496,250.00	-47,496,250.00				

## SWAP POSITIONS

SWP CLIENT ACCOUNT	SWP CLIENT NAME	DIV %	SWAP LONG	SWAP SHORT	PAYABLE	RECEIVABLE
SWP TOTALS			0	0	0.00	0.00

PREPARED: DESK SIGN OFF: OPS MANAGER SIG: AGENT CASH RECEIVED: CLAIMS PAID: 

D1 JOURNAL POSTED: N/A

JOURNAL NUMBERS UPDATED: 

DATE: 25/3/15

FILE CLOSED

CLOSER: 

CONFIDENTIAL

ED&amp;F-00049937



MESSAGE ID	Tag Sequence	Tag Name	Tag Value
OESSEDKKKXX566C150324000300662 150324	1	Tag 16R	GENL
OESSEDKKKXX566C150324000300662 150324	2	Tag 20C	:CORP//150209DVCA161181
OESSEDKKKXX566C150324000300662 150324	3	Tag 20C	:SEME//C150324000300662
OESSEDKKKXX566C150324000300662 150324	4	Tag 23G	NEWM
OESSEDKKKXX566C150324000300662 150324	5	Tag 22F	:CAEV//DVCA
OESSEDKKKXX566C150324000300662 150324	6	Tag 16R	LINK
OESSEDKKKXX566C150324000300662 150324	7	Tag 13A	:LINK//564
OESSEDKKKXX566C150324000300662 150324	8	Tag 20C	:PREV//C150323000299073
OESSEDKKKXX566C150324000300662 150324	9	Tag 16S	LINK
OESSEDKKKXX566C150324000300662 150324	10	Tag 16S	GENL
OESSEDKKKXX566C150324000300662 150324	11	Tag 16R	USECU
OESSEDKKKXX566C150324000300662 150324	12	Tag 97A	:SAFE//05295142806
OESSEDKKKXX566C150324000300662 150324	13	Tag 35B	ISIN DK0060534915 NOVO NORDISK/REG 5H DKK0.2
OESSEDKKKXX566C150324000300662 150324	14	Tag 93B	:CONB//UNIT/5600000,
OESSEDKKKXX566C150324000300662 150324	15	Tag 16S	USECU
OESSEDKKKXX566C150324000300662 150324	16	Tag 16R	CAETL
OESSEDKKKXX566C150324000300662 150324	17	Tag 98A	:XDTE//20150320
OESSEDKKKXX566C150324000300662 150324	18	Tag 98A	:RDTE//20150323
OESSEDKKKXX566C150324000300662 150324	19	Tag 16S	CAETL
OESSEDKKKXX566C150324000300662 150324	20	Tag 16R	CACONF
OESSEDKKKXX566C150324000300662 150324	21	Tag 13A	:CAON//001
OESSEDKKKXX566C150324000300662 150324	22	Tag 22F	:CAOP//CASH
OESSEDKKKXX566C150324000300662 150324	23	Tag 16R	CASHMOVE
OESSEDKKKXX566C150324000300662 150324	24	Tag 22H	:CRDB//CRED
OESSEDKKKXX566C150324000300662 150324	25	Tag 97A	:CASH//52950017004263
OESSEDKKKXX566C150324000300662 150324	26	Tag 19B	:PSTA//DKK20440000,
OESSEDKKKXX566C150324000300662 150324	27	Tag 19B	:GRSS//DKK28000000,
OESSEDKKKXX566C150324000300662 150324	28	Tag 19B	:NETT//DKK20440000,
OESSEDKKKXX566C150324000300662 150324	29	Tag 19B	:WITL//DKK7560000,
OESSEDKKKXX566C150324000300662 150324	30	Tag 98A	:POST//20150324
OESSEDKKKXX566C150324000300662 150324	31	Tag 98A	:VALU//20150324
OESSEDKKKXX566C150324000300662 150324	32	Tag 98A	:PAYD//20150324
OESSEDKKKXX566C150324000300662 150324	33	Tag 92F	:GRSS//DKKS,
OESSEDKKKXX566C150324000300662 150324	34	Tag 92A	:TAXR//27,
OESSEDKKKXX566C150324000300662 150324	35	Tag 16S	CASHMOVE
OESSEDKKKXX566C150324000300662 150324	36	Tag 16S	CACONF
OESSEDKKKXX566C150324000300662 150324	37	Tag 16R	ADDINFO
OESSEDKKKXX566C150324000300662 150324	38	Tag 70E	:PACO//SEB MERCHANT BANKING CUSTODY SERVICES DENMARK CORPORATE ACTIONS PHONE +371 677 57262
OESSEDKKKXX566C150324000300662 150324	39	Tag 16S	ADDINFO

ShadowSuite 9.8.1 - User[MMEADE] Company [E1] Trade Date[15-03-2015] Server[tcp://172.20.20.38:5050] Port[VMSREDFPRDMT1] Zone[GREEN] - [General Journal Detail]



File Configuration Account Master Treasury Settlement Trading General Ledger Positions Price Operations Report Window Help

Journal ID 399950 Retrieve By: Journal ID Origin System

## Journal Header

Journal ID	As Of Date	Entry Date	As of Post Date	Post Date	Type	Source	Origin
399950	26-03-2015	25-03-2015	25-03-2015	25-03-2015	User Adjustment	ORG	Import

**Description**  
 CASH INV - NOVOS INC - PD 24/03/15

**Reverse ID**  
 (None)

**Reversal Type**  
 Never

**Ancestor ID**  
 EOT

**Status**  
 Posted

**Rever e Statu**  
 Not Applicable

**Rever e Date**  
 EOT








Journal Detail Lines | Audit Trail Information | Authorization

## Detail Lines (2)

Show Groups

Seq	Asset	Country	Cur	Amount	Account ID	Account Name	Layer	Invt Type	Cost
1	1 DKK	(None)	DKK	5,110,000.0000 Dr	CO:CORPAC-CORPA	CORPORATE ACTIONS CONTROL AC	Cash	Unclassified Inventory Type	
2	2 DKK	(None)	DKK	5,110,000.0000 Cr	CC-RIVER -ASSOC	RIVER RIE ASSOCI TE DEFINED BENEFIT PLAN		Unclassified Inventory Type	





E D &amp; F MAN CAPITAL MARKETS LIMITED

## Tax Voucher

We ED&F Man Capital Markets Ltd, based at Cotton's Centre, Hays Lane, London SE1 2QE and registered in the United Kingdom – confirm, The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Sheldon and Scott Goldstein – 615 Haverstraw Road, Suffern, New York, 10901, USA, was holding the below security over the dividend date.

Security Description:	Novo Nordisk A/S
ISIN:	DK0060534915
SEDOL:	BHC8X90
Ex Date:	20/03/2015
Record Date:	23/03/2015
Pay Date:	24/03/2015
Quantity:	1,200,000.00
Gross Div Rate:	5
Amount Received:	4,380,000.00
WHT Suffered:	1,620,000.00
Currency:	DKK
WHT %:	27%

ED&F Man Capital Markets Limited has no beneficial interest in the holding and will not be reclaiming the tax. The dividends specified on this credit advice were paid net of withholding tax to The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Sheldon and Scott Goldstein. If you have any further concerns or issues please do not hesitate to contact us.

### AUTHORISED SIGNATORY

Christina MacKinnon

Head of Securities Operations

Novo Nordisk A/S

NOVOB DC

ISIN: DK0060534915

SEDOL: BHC8X90

COUNTRY: DK

EX DATE: 20/03/2015

REC DATE: 23/03/2015

PAY DATE: 24/03/2015

CCY: DKK

GROSS RATE: 5.00

FEE: 0.00

## AGENT POSITIONS

BOD BREAKDOWN TO BE SENT TO AGENT FOR DATE: N/A

CZ / FI / NO / PL / SE

CLIENT ACCOUNT	CLIENT NAME	DIV %	LONG HLDNG	SHORT HLDNG	PAYABLE	RECEIVABLE	CLAIM?	NOTES
CAUTOPA-AUTOP	Autoparts Pensions Group Trust	73%	125,000		456,250.00			
CASTPE-GRPTR	Casting Pensions Group Trust	73%	125,000		456,250.00			
CTECH0-00000	Central Technologies Pensions Group Trust	73%	125,000		456,250.00			
GOLDST-LAWGP	The Goldstein Law Group PC 401(K) Profit Sharing Plan FBO Sliet	73%	1,200,000		4,380,000.00			
INDUST-PENGP	Industrial Pension Group Trust	73%	125,000		456,250.00			
KOUTRO-PENPL	Koutoulakis & Co Corporate Pension Plan	73%	1,100,000		4,015,000.00			
LINDEN-ADBP	Linden Associates Defined Benefit Plan	73%	1,400,000		5,110,000.00			
RIVERS-ASSOC	RIVERSIDE ASSOCIATES DEFINED BENEFIT PLAN	73%	1,400,000		5,110,000.00			
DENDKK-DIVDK	SEB Depot D5295142806	73%		-5,600,000		-20,440,000.00		
TOTALS			5,600,000	-5,600,000	20,440,000.00	-20,440,000.00		

## SECURITIES LENDING POSITIONS

SL CLIENT ACCOUNT	SL CLIENT NAME	DIV %	LONG HLDNG	SHORT HLDNG	PAYABLE	RECEIVABLE	CLAIM?	NET STK LOAN AMNT	PYMNT V/D	PYMNT JRNAL NO
MAPLE0-UKLTD	Maple Securities UK Ltd	85%	1,100,000		4,675,000.00		YES		25/3	379988
CAUTOPA-AUTOP	Autoparts Pensions Group Trust	100%	2,426,750		12,133,750.00					
CASTPE-GRPTR	Casting Pensions Group Trust	100%	2,438,500		12,192,500.00					
CTECH0-00000	Central Technologies Pensions Group Trust	100%	1,274,500		6,372,500.00					
INDUST-PENGP	Industrial Pension Group Trust	100%	2,424,500		12,122,500.00					
GSA-DE-SMBHD	GSA Germany GmbH	85%		-1,100,000		-4,675,000.00				
POLLEN-FUNDG	POLLEN FUND LIMITED	100%		-9,564,250		-42,821,250.00				
SL TOTALS			9,664,250	-9,664,250	47,496,250.00	-47,496,250.00				

## SWAP POSITIONS

SWP CLIENT ACCOUNT	SWP CLIENT NAME	DIV %	SWAP LONG	SWAP SHORT	PAYABLE	RECEIVABLE
SWP TOTALS			0	0	0.00	0.00

PREPARED:

DESK SIGN OFF:

OPS MANAGER SIGN OFF:

SENT CASH RECEIVED

CLAIMS PAID

D1 JOURNAL POSTED

JOURNAL NUMBERS UPDATED

DATE: 25/3/15

FILE CLOSED

CLOSER: